

Event Vetting

Government employees, particularly high-level officials like United States Attorneys, are subject to ethical restrictions governing the types of events they may attend. Some restrictions relate to benefits, including luncheons, dinners, awards, and tokens of appreciation they may accept. Other restrictions relate, among other things, to participation in events that are sponsored by persons who do business with or lobby the Government; that have a fundraising component; where it may appear that official attendance is being used to promote the event or the sponsor; or where elected officials may be in attendance. To assist us in vetting compliance with government ethical restrictions, we would appreciate it if you could provide the following information. If you do not have specific information for each response, please provide such general or descriptive information as you currently have. Please do not hesitate to call the Office's Government Ethics Advisor, (b)(6), (b)(7)c

(b)(6), (b)(7)c at (b)(6), (b)(7)c or e-mail him at (b)(6), (b)(7)c to discuss this.

1. Name, date and time, and location of event. **Rockland County Bar Association Annual Dinner; Thursday, October 27, 2016; 6:00 p.m. – 11:00 p.m.; The Patriot Hills Country Club, 19 Club House Lane, Stony Point, New York, 10980.**
2. Format of event (*e.g.*, cocktails; presentations; speeches; and/or meal). **Cocktails and dinner with presentations and speeches.**
3. Estimated cost per attendee of event. **\$150.00**
4. Are any attendees being charged to attend the event? **Everyone is being charged to attend the event with these exceptions: honored guests, award recipients and Mr. Bharara and whomever he would like to bring with him.**
 - a. If so, who (in general) is being offered free attendance, and who is expected to pay? **Please see response directly above.**
5. Name of entity extending the invitation and link to web site (if any). **Rockland County Bar Association. Website: www.rocklandbar.org**
 - a. Is the entity extending the invitation registered with the Secretary of the Senate and the Clerk of the House of Representatives as a lobbyist pursuant to Section 1603(a) of Title 2 of the United States Code? **No.**
6. Sponsor of event if different from above. **Sterling National Bank.**

- a. Is the sponsor of the event registered with the Secretary of the Senate and the Clerk of the House of Representatives as a lobbyist pursuant to Section 1603(a) of Title 2 of the United States Code? **No.**
7. Names of additional entities that will be recognized for sponsorship or support of the event. **None that we know of at this time.**
8. How many persons are expected to attend? **250**
9. Demographics of expected attendees (*e.g.*, lawyers; law enforcement; business leaders; students; etc.) **Lawyers, judges, community leaders and business leaders.**
10. Are any elected officials expected to attend and, if so, what is their expected role? **Yes, as guests only; they have no role except as attendees.**
11. Is there a fundraising component to the event? (*e.g.*, program advertisements; dinner ticket price; silent auction)? If so, please describe.¹ **Yes: dinner journal; dinner ticket price. No silent auction.**
12. Expected role of U.S. Attorney (*e.g.*, simple attendance; remarks; speech) **Honored Guest and Speech.**
13. If the U.S. Attorney is being honored:
 - a. What are the criteria your organization applies to determine who should be honored for this specific award? **We honor distinguished citizens who have made a significant contribution to the administration of justice on behalf of the community.**

¹ For events that involve any fundraising leading up to or during the event: The United States Attorney may not participate in any active fundraising activity with respect to the event. Nor may the U.S. Attorney allow his name, position, or title to be used for any fundraising activity for your organization. If applicable, you may list his name as an awardee and/or speaker on the program and on invitations issued not more than 30 days prior to the event, along with other information about the program. He may not be listed on any “save the date” notices. Failure to comply with these limitations may preclude the U.S. Attorney from appearing at the event. If the U.S. Attorney is giving an official speech, he may be seated and have photos taken as appropriate for a speaker at the event, but you may not use his photo in connection with any other fundraising efforts.

- b. What is the internal process by which your organization selects potential honorees? **The Bar Association's Board of Directors deliberates and selects an Honoree for the Annual Dinner each year.**
 - c. For what specific public service or achievement do you wish to honor the U.S. Attorney? **For his steadfast fight against public and private corruption.**
 - d. Did any of the accomplishments of the U.S. Attorney which you wish to honor directly affect the organization or its members? (Describe.) **No.**
 - e. Do any of the board members or host committee or senior staff have any matters pending before or involving the United States Attorney's Office for the Southern District of New York? **One Board Member who handles bank matters occasionally interacts with the U.S. Attorney's Office representing the IRS.**
 - f. Please provide a description and the value of any award item (if the award item is a plaque, certificate or trophy of little intrinsic value, you may so indicate). **A plaque of nominal value.**
 - g. Who else is expected to be honored at the event? **Diana W. Rivet, Esq., will be honored with the Lifetime Achievement Award.**
14. If the U.S. Attorney is making a presentation, who else is expected to be making a presentation/be on a panel? **N/A**
- a. Will the U.S. Attorney be presented with a token or memento in appreciation for his presentation?
 - i. ☐ Nothing
 - ii. ☐ Plaque or other memento of little intrinsic value
 - iii. ☐ Other. Please describe, including its value.
15. Describe any special seating arrangements for U.S. Attorney, *e.g.*, dais, general seating (depending on the nature of the event, the U.S. Attorney may or may not be able to accept "dais" seating.) **Table seating; no dais.**

16. Promotion of the event: please provide a copy of or link to the invitation/promotional material for the event (or if not available, for the prior year's event). **Please see attached copy of last year's invitation.**